



## Declaration for Patent Application

Docket Number: 1744.1260001

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled:  
**Apparatus, System, and Method for Down-Converting and Up-Converting Electromagnetic Signals**

the specification of which is attached hereto unless the following box is checked:

- ☒ was filed on May 16, 2001 ;  
as United States Application Number or PCT International Application Number 09/855,851 ; and  
was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56, including for continuation-in-part applications, material information that became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or (f), or § 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or § 365(a) of any PCT international application, which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

\_\_\_\_\_  
(Application No.)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Month/Year Filed)

☐ Yes ☐ No

\_\_\_\_\_  
(Application No.)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Month/Year Filed)

☐ Yes ☐ No

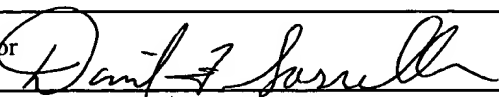


Send Correspondence to:

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.  
1100 New York Avenue, N.W.  
Suite 600  
Washington, D.C. 20005-3934

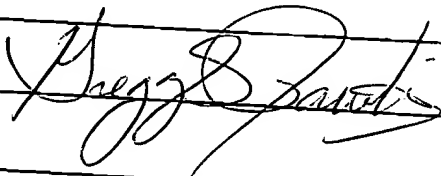
Direct Telephone Calls to:

(202) 371-2600

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor David F. Sorrells	
Signature of sole or first inventor 	Date 9/17/01
Residence Middleburg, FL	
Citizenship U.S.A.	
Mailing Address 3129 Ride Out Lane, Middleburg, Florida 32068	
Full name of second inventor Michael J. Bultman	
Signature of second inventor 	Date 17 Sept 01
Residence Jacksonville, Florida	
Citizenship U.S.A.	
Mailing Address 2244 Aztec Drive West, Jacksonville, Florida 32246	
Full name of third inventor Robert W. Cook	
Signature of third inventor 	Date 9/17/01
Residence Switzerland, Florida	
Citizenship U.S.A.	
Mailing Address 1432 Roberts Road, Switzerland, Florida 32259	

Full name of fourth inventor Richard C. Looke	<i>R. C. Looke</i>	9/19/01
Signature of fourth inventor		Date
Residence Jacksonville, Florida		
Citizenship U.S.A.		
Mailing Address 4754 Cumberland Station Court, Jacksonville, Florida 32257		
Full name of fifth inventor Charley D. Moses, Jr.		
Signature of fifth inventor	<i>Charley D. Moses, Jr.</i>	09/17/01
		Date
Residence Jacksonville, Florida		
Citizenship U.S.A.		
Mailing Address 4314 Naranja Drive, Jacksonville, Florida 32217		
Full name of sixth inventor Gregory S. Rawlins		
Signature of sixth inventor		Date
Residence Heathrow, Florida		
Citizenship U.S.A.		
Mailing Address 155 Harston Court, Heathrow, Florida 32746		

Full name of fourth inventor Richard C. Looke	
Signature of fourth inventor	Date
Residence Jacksonville, Florida	
Citizenship U.S.A.	
Mailing Address 4754 Cumberland Station Court, Jacksonville, Florida 32257	
Full name of fifth inventor Charley D. Moses, Jr.	
Signature of fifth inventor	Date
Residence Jacksonville, Florida	
Citizenship U.S.A.	
Mailing Address 4314 Naranja Drive, Jacksonville, Florida 32217	
Full name of sixth inventor Gregory S. Rawlins	
Signature of sixth inventor 	Date 9/17/01
Residence Heathrow, Florida	
Citizenship U.S.A.	
Mailing Address 155 Harston Court, Heathrow, Florida 32746	

Appl. No. 09/855,851  
Docket No. 1744.1260001

Full name of seventh inventor Michael W. Rawlins	<i>Michael W. Rawlins</i>	9/17/01
Signature of seventh inventor		Date
Residence Lake Mary, Florida		
Citizenship U.S.A.		
Mailing Address 349 Sprucewood Road, Lake Mary, Florida 32746		

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(Supply similar information and signature for subsequent joint inventors, if any)



## POWER OF ATTORNEY FROM ASSIGNEE

ParkerVision, Inc., a corporation of Florida, having a principal place of business at 8493 Baymeadows Way, Jacksonville, Florida 32256, is assignee of the entire right, title and interest for the United States of America (as defined in 35 U.S.C. § 100), by reason of an Assignment to the Assignee executed on (1) 9-17-01; (2) 9-17-01; (3) 9-17-01; (4) 9-19-01; (5) 9-17-01; (6) 9-17-01; and (7) 9-17-01 of an invention known as **Apparatus, System, and Method for Down-Converting and Up-Converting Electromagnetic Signals** (Attorney Docket No. 1744.1260001), which is disclosed and claimed in a patent application of the same title by the inventor(s) (1) David F. Sorrells; (2) Michael J. Bultman; (3) Robert W. Cook; (4) Richard C. Looke; (5) Charley D. Moses, Jr.; (6) Gregory S. Rawlins; and (7) Michael W. Rawlins (said application filed on May 16, 2001 at the U.S. Patent and Trademark Office, having Application Number 09/855,851).

The Assignee hereby appoint the U.S. attorneys associated with **CUSTOMER NUMBER 28393** to prosecute this application and any continuation, divisional, continuation-in-part, or reissue application thereof, and to transact all business in the U.S. Patent and Trademark Office connected therewith, such attorneys currently being: Robert Greene Sterne, Esq., Reg. No. 28,912; Edward J. Kessler, Esq., Reg. No. 25,688; Jorge A. Goldstein, Esq., Reg. No. 29,021; David K.S. Cornwell, Esq., Reg. No. 31,944; Robert W. Esmond, Esq., Reg. No. 32,893; Tracy-Gene G. Durkin, Esq., Reg. No. 32,831; Michele A. Cimbala, Esq., Reg. No. 33,851; Michael B. Ray, Esq., Reg. No. 33,997; Robert E. Sokohl, Esq., Reg. No. 36,013; Eric K. Steffe, Esq., Reg. No. 36,688; Michael Q. Lee, Esq., Reg. No. 35,239; Steven R. Ludwig, Esq., Reg. No. 36,203; John M. Covert, Esq., Reg. No. 38,759; and Linda E. Alcorn, Esq., Reg. No. 39,588. The Assignee hereby grants said attorneys the power to insert on this Power of Attorney any further identification that may be necessary or desirable in order to comply with the rules of the U.S. Patent and Trademark Office.

Send correspondence to:

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.  
1100 New York Avenue, N.W.  
Suite 600  
Washington, D.C. 20005-3934  
U.S.A.

Direct phone calls to 202-371-2600.

FOR: ParkerVision, Inc.

SIGNATURE: \_\_\_\_\_

BY: Jeffrey L. Parker

TITLE: Chairman and Chief Executive Officer

DATE: September 20, 2001



## Certificate Under 37 C.F.R. § 3.73(b)

Applicant/Inventor Owner: Sorrells et al.

Application No./Patent No.: 09/855,851 Filed/Issue Date: May 16, 2001

Entitled: **Apparatus, System, and Method for Down-Converting and Up-Converting Electromagnetic Signals**

ParkerVision, Inc.

(Name of Assignee)

, a Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: September 20, 2001

Name: Jeffrey L. Parker

Title: Chairman and Chief Executive Officer

Signature: 

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P:\USERS\VBEASTON\1744.1260001\373.CERTIFICATE

## ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventor(s): (1) David F. Sorrells; (2) Michael J. Bultman; (3) Robert W. Cook; (4) Richard C. Looke; (5) Charley D. Moses, Jr.; (6) Gregory S. Rawlins; and (7) Michael W. Rawlins, the undersigned inventor(s) hereby sell(s) and assign(s) to **ParkerVision, Inc.** (the Assignee) his/her entire right, title and interest, including the right to sue for past infringement and to collect for all past, present and future damages.

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),  
☒ and throughout the world,

(a) in the invention(s) known as **Apparatus, System, and Method for Down-Converting and Up-Converting Electromagnetic Signals** for which application(s) for patent in the United States of America has (have) been executed by the undersigned on (1) 9-17-01; (2) 9-17-01; (3) 9-17-01; (4) 9-19-01; (5) 9-17-01; (6) 9-17-01; and (7) 9-17-01 (also known as United States Application No. 09/855,851, filed May 16, 2001), in any and all applications thereon, in any and all Letters Patent(s) therefor, and

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a) and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with the application(s) and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding application(s) thereof and also to execute separate assignments in connection with such application(s) as the Assignee may deem necessary or expedient.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the application(s) or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application(s) thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or patent enforcement action.

The undersigned inventor(s) hereby represent(s) that he/she has full right to convey the entire interest herein assigned, and that he/she has not executed, and will not execute, any agreement in conflict therewith.

The undersigned inventor(s) hereby grant(s) Robert Greene Sterne, Esquire, Registration No. 28,912; Edward J. Kessler, Esquire, Registration No. 25,688; Jorge A. Goldstein, Esquire, Registration No. 29,021; David K.S. Cornwell, Esquire, Registration No. 31,944; Robert W. Esmond, Esquire, Registration No. 32,493; Tracy-Gene G. Durkin, Esquire, Registration No. 32,831; Michele A. Cimbala, Esquire, Registration No. 33,851; Michael B. Ray, Esquire, Registration No. 33,997; Robert E. Sokohl, Esquire, Registration No. 36,013; Eric K. Steffe, Esquire,



Registration No. 36,688; Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire, Registration No. 36,203; John M. Covert, Esquire, Registration No. 38,759; and Linda E. Alcorn, Esquire, Registration No. 39,588; all of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934, power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventor(s) on the date opposite his/her name.

Date: 09/12/01 Signature of Inventor: David F. Sorrells  
David F. Sorrells

Date: 17 Sep 01 Signature of Inventor: Michael J. Bultman  
Michael J. Bultman

Date: 9/17/01 Signature of Inventor: Robert W. Cook  
Robert W. Cook

Date: 9/19/01 Signature of Inventor: Richard C. Looke  
Richard C. Looke

Date: 09/17/01 Signature of Inventor: Charley D. Moses, Jr.  
Charley D. Moses, Jr.

Date: \_\_\_\_\_ Signature of Inventor: \_\_\_\_\_  
Gregory S. Rawlins

Date: \_\_\_\_\_ Signature of Inventor: \_\_\_\_\_  
Michael W. Rawlins

**COPY**  
Registration No. 36,688; Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire, Registration No. 36,203; John M. Covert, Esquire, Registration No. 38,759; and Linda E. Alcorn, Esquire, Registration No. 39,588; all of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934, power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventor(s) on the date opposite his/her name.

~~Date: \_\_\_\_\_ Signature of Inventor: \_\_\_\_\_  
David F. Sorrells~~  
~~Date: 178001 Signature of Inventor: [Signature]  
Michael J. Dultman~~  
~~Date: 9/17/01 Signature of Inventor: [Signature]  
Robert W. Cook~~  
~~Date: \_\_\_\_\_ Signature of Inventor: \_\_\_\_\_  
Richard C. Looke~~  
~~Date: \_\_\_\_\_ Signature of Inventor: \_\_\_\_\_  
Charley D. Moses, Jr.~~  
~~Date: 9/17/01 Signature of Inventor: [Signature]  
Gregory S. Rawlins~~  
~~Date: 9/17/01 Signature of Inventor: [Signature]  
Michael W. Rawlins~~

**COPY**  
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Page 2 of 2

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